

## **Desk Instruction 1.2 "Assessment Tracking and Reporting"**

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**Revision 0**

Approved by: \_\_\_\_\_

Date: \_\_\_\_\_

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## **1.0 Introduction**

This desk instruction provides the ESQ process for tracking and reporting Assessment Findings and Follow-on Items (AFIs) using the Office of River Protection (ORP) Consolidated Action Reporting System (CARS). The CARS is the formal ORP system for tracking and managing all Waste Treatment and Immobilization Plant (WTP) and Tank Farm Findings and AFIs.

## **2.0 Expectations**

- a. All Findings and AFIs will be tracked in the CARS.
- b. The data entered into the CARS will be verified accurate by the originator of the item prior to submittal for approval.
- c. Finding and AFI closure actions will also be maintained and managed in CARS.
- d. CARS reports will be generated on a weekly basis by the CARS Administrator for a current status of actions.

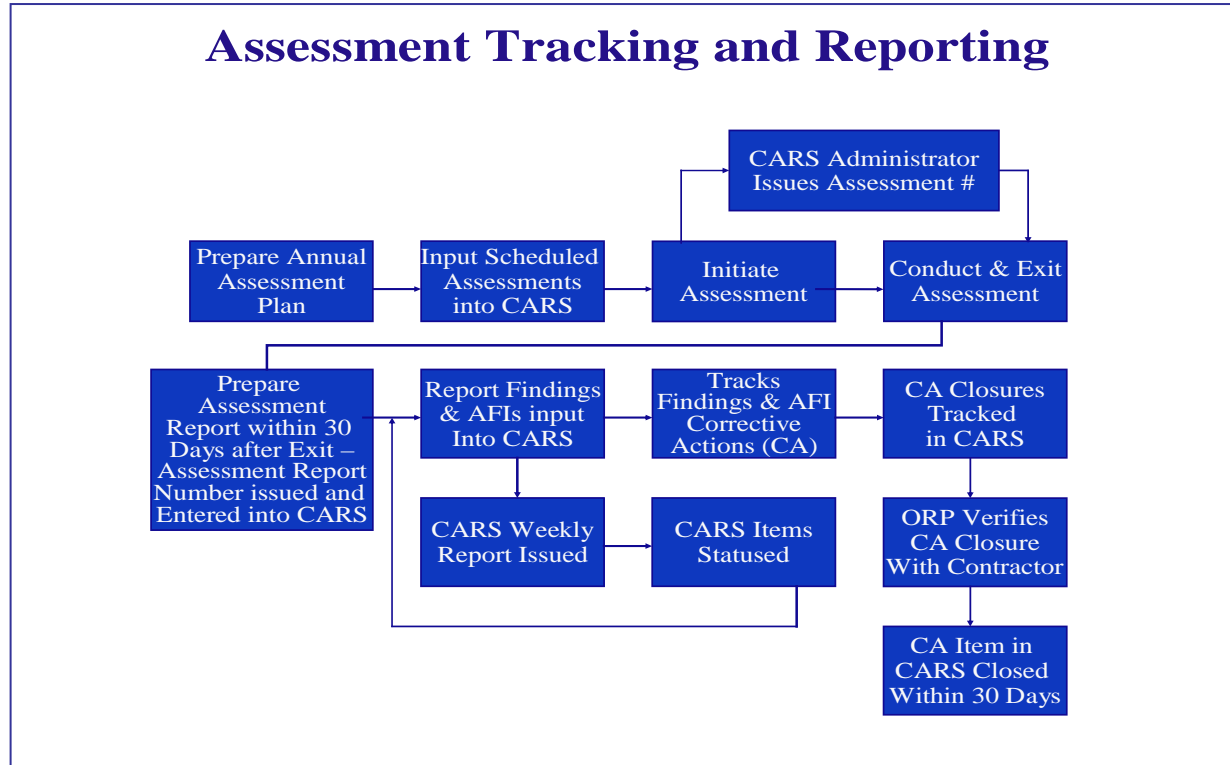
## **3.0 Application**

This desk instruction applies to all ESQ personnel involved in WTP and Tank Farms assessments and inspections. ESQ personnel performing assessments are responsible for providing current Finding and AFI status into CARS until each Finding or AFI corrective action is closed. Generally, the lead assessor for an assessment report or the originator of a Finding or AFI is responsible for ensuring the completeness and accuracy of the data.

ORP staff should ensure timely closure of open items. Findings and AFIs should not remain open more than 30 days following completion of the last associated corrective action. Completion of a corrective action by the contractor can be documented in assessment reports which provide the verification and documentation. Closure can also be documented in an e-mail from the contractor to the assessment Team Leader. Subsequently, the closure of Findings and AFIs is entered into CARS via a CARS Data Entry Form (see attachment 1).

## **4.0 Procedure and Process**

The following flow chart summarizes the assessment tracking and reporting process for ESQ. ESQ will also track Observations when it requests a contractor response to these items. Requested contractor responses to Observations will also be tracked in CARS.



**Exhibit I - Assessment Process Flowchart**

#### **4.1 Annual Assessment Plan**

The ESQ Assessment Program Manager (APM) coordinates preparation of the Annual Assessment Plan. This plan schedules all programmatic and facility specific assessments by responsible AM organization for a calendar year. ESQ issues status of the schedule to ORP on a monthly basis. By September 15 each year, the APM issues a call to the ORP AMs and ESQ Director for specific assessments to be conducted.

#### **4.2 Assessment Conduct**

The Assessment Team Leader plans the overall assessment. This involves assembling the assessment team, ensuring members are trained and qualified and preparing the overall Assessment Plan.

Prior to initiation of field work, the Team Leader ensures the scope and schedule of the assessments are communicated to assessment team members, the Facility Representative (FR) and Facility Manager.

The assessment techniques and methods include:

- Observation of work processes

- Walkdown of systems
- Observation of facility conditions
- Observation of adherence to established procedures and schedules
- Inspection of equipment
- Interview of appropriate personnel
- Review of documents

The assessment shall be documented in detailed notes and records of observed activities, including objective evidence obtained or reviewed, and the date/time of observed activities.

#### **4.3 Exit Meeting and Assessment Reporting**

The Assessment Team Leader conducts an assessment exit meeting with contractor senior management, and ORP management, as appropriate. The exit meeting should include:

- Summary results of the assessment activities
- Opportunity for the contractor management to provide additional information to DOE regarding a deficiency or issue
- Discussion of issues.

#### **4.4 Tracking of Assessments**

The Assessment Team Leader, or assigned staff member, is responsible for tracking the assessment Findings, AFIs and closure to contractor corrective actions. The contractor is responsible for developing corrective actions for assessment deficiencies. The Team Leader works with the Division Director to distribute contractor corrective actions received to the appropriate ORP personnel.

The Assessment Team Leader works with the Division Director to ensure:

- Validation of corrective action completion
- Closure of deficiencies
- Validation of corrective action effectiveness through future assessments

Each assessment report Finding and AFI are entered into CARS for tracking. The Assessment Team Leader is responsible for providing the approved assessment report to the CARS Administrator for data input. Each Finding and AFI is logged individually.

#### **4.5 CARS Data Entry**

The following data should be entered on Attachment 1, as appropriate, for each item:

- Follow-up Item Tracking Number: The Open Item number (Finding or AFI).
- Date Opened: The date the assessment report was issued or the date the item was identified if not from an assessment report.

- Date Updated: The date additional information was added for follow-up update.  
Report Initiator: The name of the individual originally responsible for input of the item (if known).
- Title: Brief title for the item (described in 50 characters or less).
- Detail Description: Detailed description of the item.
- Contractor Action Tracking Document including completion date for closure (PERS, CARS and RITS)
- Comments: Information such as response letter number and date, and date corrective actions are expected to be complete should be added when/if available. When an acceptable response is provided, the letter number and total days from origination of finding to acceptable response should be included in comments.
- Interim assessments: A running list of any assessment report numbers or follow-up closure efforts where interim assessments of the item were performed and discussed.
- Closure Date: The date the item was approved to be closed (assessment report issue date if applicable).
- Closeout Method and Document Number: The assessment report number or e-mail copy that documented closeout of the item (if any).

#### **4.6 Assessment Tracking Reports**

Open item tracking reports will be prepared upon request to enable the ORP to effectively manage the assessment program; gauge the Contractor's responsiveness to assessment Findings and follow-up items; gauge ORP's performance in processing assessment Findings and follow-up items; determine the need to make adjustments in the implementation of the assessment program; and, raise performance items with the Contractor.

Elements in tracking reports will include, but not necessarily be limited to:

- Open item tracking number
- Detailed description of item
- Contractor actions

### **5.0 Responsibilities**

#### **5.1 Annual Assessment Plan**

The ESQ Assessment Program Manager (APM) is responsible for preparing the Annual Assessment Plan which schedules all programmatic and facility specific assessments by responsible AM organization for a calendar year. The Assessment Plan is provided to the

Assessment Program Committee (APC) for approval. ESQ issues status of the schedule to ORP on a monthly basis.

## **5.2 Training and Qualification**

ORP Division Directors responsible for the assessment ensure personnel performing assessments possess suitable qualifications commensurate with the nature and type of assessment to be conducted.

## **5.3 Assessment Program Committee**

The APC reviews and approves the ORP Annual Assessment Plan. Completed assessments are reviewed by the APC to ensure that ORP is receiving maximum value for the resources expended.

## **5.4 Findings and AFI Status**

ORP personnel responsible for providing input (generally the lead assessor for an assessment report or the originator of an Other Follow-up Item, for follow-up items) to the CARS are responsible for ensuring the completeness and accuracy of the data. The verification of accuracy is indicated by the author's signature on the data entry form (provided as Attachment 1). ORP staff should ensure timely closure of open items; except in extenuating circumstances, they should not remain open more than 30 days following completion of the last corrective action for the Assessment Finding or AFI.

Closure is documented in an assessment report and in CARS. The assessment report describes the documents and actions completed by the contractor to verify completion. The assessment approval authority provides closure of the item in CARS with the submittal of Attachment 1 to the CARS Administrator.

## **5.5 CARS Data Input**

The CARS data entry form (see Attachment 1) documents each follow-up item. Input, updates, and corrections may be made by completing and signing a CARS data entry form, and obtaining the signature of the approval authority.

## **5.6 Open Item Numbering System**

The system for numbering open items shall be as follows:

The number for open items identified in an assessment report will consist of the complete assessment report number followed by a single-digit identifier (F for finding and A for assessment follow-up item) and a two-digit sequence number for the particular type of item. The numbers and alphas have the following meaning:

- A indicates assessment

- 04 represents the calendar year
- ESQ indicates the originating organization within ORP
- RPPWTP indicates the BNI facility
- Tank Farm for Tank Farm items
- 01 represents the chronological assessment during the year
- F02 indicates the second finding within that report
- A01 indicates the first assessment follow-up item

AFIs that are later determined to be Findings will be given a new number based on the current assessment report. The old item will be closed in the assessment report. For historical purposes, the new open item number will be entered in the comment section of the original open item.

## **5.7 Security Considerations**

Access to the CARS shall be controlled by the CARS Administrator to ensure entry and update capabilities are restricted to authorized personnel.



Attachment 1. Assessment Follow-up System Data Entry Form

**CARS ASSESSMENT TRACKING**  
**DATA ENTRY FORM**

FOLLOW-UP ITEM TRACKING NUMBER: \_\_\_\_\_ DATE OPENED: \_\_\_\_\_

DATE UPDATED: \_\_\_\_\_

ORIGINATING INSPECTOR: \_\_\_\_\_

TITLE DESCRIPTION (50 CHARACTERS OR LESS): \_\_\_\_\_

\_\_\_\_\_

-----  
DETAILED DESCRIPTION: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

CONTRACTOR CLOSEOUT DOCUMENT (LETTER) AND CLOSURE DATE: \_\_\_\_\_

\_\_\_\_\_

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

INTERIM ASSESSMENTS (REPORT NUMBERS): \_\_\_\_\_

\_\_\_\_\_

CLOSEOUT METHOD AND DOCUMENT NUMBER: \_\_\_\_\_

CLOSEOUT DATE: \_\_\_\_\_

ORIGINATOR SIGNATURE: \_\_\_\_\_

APPROVAL AUTHORITY SIGNATURE: \_\_\_\_\_